

5-30-00

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Attorney Docket No. 3001 P 009

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Continuation Patent Application Of:
Kenneth Kiron and Kevin S. Bander

Mailed: May 26, 2000

For: Open End Mutual Fund Securitization Process

-) Prior Application:
-) Application No. 09/140,868
-) Filed: August 27, 1998
-) Art Unit: 2761
-) Examiner: S. Tkacs
-) Present Application:
-) Examiner: Not Assigned
-) Art Unit: Not Assigned

**CONTINUATION PATENT APPLICATION
TRANSMITTAL FILING UNDER 37 C.F.R. §1.53(b)**

Box Patent Application
Commissioner For Patents
Washington, DC 20231

Dear Sir:

This is a request for filing a continuation application of co-pending prior Application No. 09/140,868 under 37 C.F.R. § 1.53(b). The parent application was filed on August 27, 1998 by Applicants Kenneth Kiron and Kevin S. Bander and is similarly entitled "Open End Mutual Fund Securitization Process." The parent application is a divisional of Application No. 08/542,431 filed on October 12, 1995, now U.S. Patent No. 5,806,048.

Benefit of Prior U.S. Applications

The attached continuation application being transmitted claims the benefit of prior U.S. applications, as indicated below.

Papers Enclosed

In accordance with 37 C.F.R. § 1.63(d), the specification filed herewith contains no new matter. Accordingly, a copy of the executed Declaration and Power of Attorney from the parent application (U.S. Application No. 09/140,868, which is a copy of the executed Declaration and Power of Attorney from its parent application (U.S. Application No. 08/542,431, now U.S. Patent No. 5,806,048), is submitted herewith.

The papers attached are as follows:

- Specification, Claims and Abstract, as originally filed October 12, 1995;
- Three (3) sheets of Drawings containing Figures 1A-1L and 2, as originally filed October 12, 1995;
- Substitute Specification and Abstract, filed February 9, 1998;
- Amendment filed February 9, 1998 amending the Claims;
- Preliminary Amendment filed August 26, 1998;
- Response to Office Action filed September 2, 1999 amending the Claims; and
- Terminal Disclaimer filed September 2, 1999.

05/26/00
jc135 U.S. PTO

jc815 U.S. PTO
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Additional Papers Enclosed

A Preliminary Amendment is also attached requesting cancellation in the attached application of claims 19-51 before calculating the filing fee.

A copy of the executed Verified Statement Claiming Small Entity Status - Small Business Concern from the parent application (U.S. Application No. 09/140,868), which is a copy of the executed Verified Statement Claiming Small Entity Status - Small Business concern from its parent application (U.S. Application No. 08/542,431, now U.S. Patent No. 5,806,048).

Declaration or Oath (including Power of Attorney)

As previously stated, a copy of the executed Declaration and Power of Attorney filed in the prior U.S. application (U.S. Application No. 09/140,868) is submitted herewith, in accordance with 37 C.F.R. §1.63(d). Also enclosed is a copy of the Associate Power of Attorney filed September 2, 1999 in Application No. 09/140,868.

Incorporation by Reference

The entire disclosure of the prior applications, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.

Inventorship Statement

The inventorship for all the claims in this application is the same as that for the parent application.

Fee Calculation (37 C.F.R. § 1.16)

The filing fee has been calculated as shown below:

			Small Entity		or	Other Than A Small Entity	
For:	No. Filed	No. Extra	Rate	Fee		Rate	Fee
Basic Fee				\$345	or		\$690
Total Claims	23 - 20 =	3	x 9 =	\$ 27	or	x 18 =	\$
Indep. Claims	4 - 3 =	1	x 39 =	\$ 39	or	x 78 =	\$
<input type="checkbox"/> First Presentation of Multiple Dependent Claim			x 130 =	\$0	or	x 260 =	\$
			Total	\$411	or	Total	\$

Attorney Docket No. 3001 P 009
Title: "Open End Mutual Fund Securitization Process"
Inventors: Kenneth Kiron and Kevin S. Bander
Page 3

X Check No. 4447 in the amount of \$411 is attached. The Commissioner is hereby authorized to credit any overpayment or charge any deficit to Deposit Account No. 23-0280.

Relate Back--35 U.S.C. 120

As required under 35 U.S.C. 120, the Specification of the attached application has been amended in the Preliminary Amendment to include the following specific reference to the earlier filed parent application:

"This application is a continuation of co-pending prior U.S. Application No. 09/140,868 filed August 27, 1998 which is a divisional of U.S. Application No. 08/542,431 filed October 12, 1995 now U.S. Patent No. 5,806,048."

Please address all future communications to:

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Respectfully submitted,

Date:

5/26/2000

By:



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CERTIFICATION UNDER 37 C.F.R. § 1.10

Express Mail Label No. EL619807784US

Date of Deposit: May 26, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10, postage prepaid, on the date indicated above and is addressed to: Box Patent Application, Fee, Commissioner for Patents, Washington, D.C. 20231.

Kathleen Rudquist
/99419.1

In Re Application Of: Kenneth Kiron and Kevin S. Bander

For: Open End Mutual Fund Securitization Process

W&W File No. 3001 P 009

Enclosures: Post Card;
Check No. 4447 for \$411;
Continuation Patent Application Transmittal (in duplicate);
Preliminary Amendment (in duplicate);
Copy of Specification, Claims and Abstract, as originally filed
October 12, 1995;
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Copy of Verified Statement Claiming Small Entity Status - Small
Business Concern as filed in Application No. 09/140,868;
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Kathleen Rundquist
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